

Please type a plus sign (+) inside this box →

## DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION

(37 CFR 1.63)

Attorney Docket Number: J99.10

First Named Inventor: David W. LaFore

☒ Declaration Submitted with Initial Filing  
☐ Declaration Submitted after Initial Filing (surcharge [37 CFR 1.16(e)] required)

**COMPLETE IF KNOWN**  
Application Number: 09/497,272  
Filing Date: 2/3/00  
Group Art Unit: \_\_\_\_\_  
Examiner Name: \_\_\_\_\_

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled  
"Data Processing System and Method for Managing Broker Transaction Information"  
the specification of which

☒ is attached hereto  
OR

☐ was filed on (MM/DD/YY) \_\_\_\_\_ as United States Application Number or PCT International Application Number \_\_\_\_\_ as was amended on (MM/DD/YY) \_\_\_\_\_ (if applicable).

I hereby stated that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or Inventor's certificate, or 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or Inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

### Prior Foreign Application(s)

			Priority Not Claimed	Certified Copy Attached ?	
				Yes	No
_____ (Number)	_____ (Country)	_____ (Foreign Filing Date)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached.

I hereby claim the benefit under 35 U.S.C. 119(e) of the United States provisional application(s) listed below.

_____ (Application Number)	_____ (Filing Date)	<input type="checkbox"/> Additional provisional application numbers are listed on supplemental priority data sheet PTO/SB/02B attached hereto.
_____ (Application Number)	_____ (Filing Date)	

I hereby claim the benefit under 35 U.S.C. §120 of any United States application(s), or §365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

U.S. Parent Application or PCT  
Parent Number

Parent Filing Date

Parent Patent Number  
(if applicable)

U.S. Parent Application or PCT  
Parent Number

Parent Filing Date

Parent Patent Number  
(if applicable)

☐ Additional U.S. or PCT International application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached.

As named inventor, I hereby appoint the following practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: ☒ Registered Practitioner(s) name/registration number listed below

Name

Registration Number

Gary D. Fields

19,604

Brent P. Johnson

38,031

☐ Additional registered practitioner(s) named on Supplemental Registered Practitioner Information sheet PTO/SB/02C attached hereto.

Direct all correspondence to: Fields & Johnson, P.C.

8480 East Orchard Road, Suite 5600, Englewood, CO 80111

Country: U.S.A. Telephone: (303) 689-9100 Fax: (303) 689-9250

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name of Sole or First Inventor

☐ A petition has been filed for this unsigned inventor

Given Name (first and middle [if any]) David W.

Family Name or Surname LaFore

Inventor's signature David LaFore

Date 02/01/2000

Residence 8963 West Phillips Drive, Littleton, CO 80128 Citizenship U.S.A.

Post Office Address 8963 West Phillips Drive, Littleton, CO 80128

City, State, Zip, Country Littleton, CO 80128 U.S.A.

Full name of second joint inventor, if any (given name, family name) Kyle L. Brennan

Second Inventor's signature Kyle L. Brennan

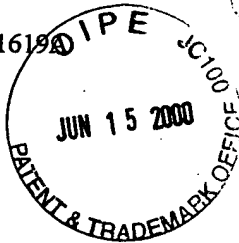
Date 2/01/2000

Residence 7286 South Chapparral Circle East, Aurora, CO 80016 Citizenship U.S.A.

Post Office Address 7286 South Chapparral Circle East, Aurora, CO 80016

City, State, Zip, Country Aurora, CO 80016 U.S.A.

☐ Additional inventors are being named on the supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.



**RECORDATION FORM COVER SHEET  
PATENTS ONLY**

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

**Submission Type**

- ☒ New
- ☐ Resubmission (Non-Recordation)  
Document ID#
- ☐ Correction of PTO Error  
Reel #  Frame #
- ☐ Corrective Document  
Reel #  Frame #

**Conveyance Type**

- ☒ Assignment ☐ Security Agreement
- ☐ License ☐ Change of Name
- ☐ Merger ☐ Other
- U.S. Government**  
(For Use ONLY by U.S. Government Agencies)
- ☐ Departmental File ☐ Secret File

**Conveying Party(ies)**

☐ Mark if additional names of conveying parties attached

Name (line 1)

Execution Date  
Month Day Year

Name (line 2)

**Second Party**

Name (line 1)

Execution Date  
Month Day Year

Name (line 2)

**Receiving Party**

☐ Mark if additional names of receiving parties attached

Name (line 1)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

City

State/Country

Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

**Domestic Representative Name and Address**

Enter for the first Receiving Party only.

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

**FOR OFFICE USE ONLY**

**Correspondent Name and Address**

Area Code and Telephone Number

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

**Pages**

Enter the total number of pages of the attached conveyance document including any attachments.

#

**Application Number(s) or Patent Number(s)**

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

**Patent Application Number(s)**

**Patent Number(s)**

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year

**Patent Cooperation Treaty (PCT)**

Enter PCT application number  
only if a U.S. Application Number  
has not been assigned.

PCT

PCT

PCT

PCT

PCT

PCT

**Number of Properties**

Enter the total number of properties involved.

#

**Fee Amount**

Fee Amount for Properties Listed (37 CFR 3.41): \$

Method of Payment:  
Deposit Account

Enclosed ☒

Deposit Account ☐

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

#

Authorization to charge additional fees:

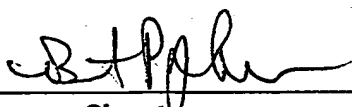
Yes ☒

No ☐

**Statement and Signature**

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.

Brent P. Johnson



2/17/00

Name of Person Signing

Signature

Date

## ASSIGNMENT

WHEREAS, David W. LaFore, residing at 8963 West Phillips Drive, Littleton, Colorado, and Kyle L. Brennan, residing at 7286 South Chapparral Circle East, Aurora, Colorado 80116, have invented a certain new and useful invention in a "Data Processing System and Method for Managing Broker Transaction Information" for which they are about to make application for Letters Patent of the United States, and said application being identified as Docket No. J99.10 and executed concurrently herewith; and

WHEREAS, David W. LaFore and Kyle L. Brennan, now own the entire right, title and interest therein; and

WHEREAS, David W. LaFore is desirous of assigning his entire right, title and interest therein; and

WHEREAS, Data Technology Services, a fully organized corporation of the State of Colorado, whose address is 10920 West Alameda Avenue, Lakewood, Colorado 80226, is desirous of acquiring the entire right, title and interest therein and thereto of David W. LaFore;

NOW, THEREFORE, be it known that for and in the consideration of the sum of One Dollar (\$1.00) and other good and valuable considerations to me in hand paid, the receipt of which is hereby acknowledged, I, the said David W. LaFore, do sell, assign and transfer unto the said Data Technology Services my entire right, title and interest in and to the said invention, the aforesaid application for the territory of the United States of America, patent applications in all foreign countries, and to all Letters Patent, continuations, reissues and extensions to be obtained therefore; and I further agree to cooperate with the assignee hereunder in the obtaining and sustaining of any and all such Letters Patent, but at the expense of said assignee.

The Commissioner of Patents is hereby authorized and requested to issue the Letters Patent in accordance with the terms of this Assignment to Data Technology Services, its successors, legal representatives and assigns, as the assignee of the entire right, title and interest therein of David W. LaFore.

Date: 02/01/2002

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Applicant, Patentee or Identifier Kyle L. Brennan Attorney's  
Application or Patent No.: 09/497,272 Docket No.: J99.10  
Filed or Issued: 2/3/00  
Title "Data Processing System and Method for Managing Broker Transaction Information"

**STATEMENT CLAIMING SMALL ENTITY**

**STATUS (37 CFR 1.9(f) AND 1.27(b)) - INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention described in:

- ☐ the specification filed herewith with titled as listed above.  
☒ the application identified above.  
☐ the patent identified above.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey or license any rights in the invention is listed below:

- ☒ no such person, concern or organization.  
☐ each such person, concern or organization is listed below.

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Kyle L. Brennan

NAME OF INVENTOR:

NAME OF INVENTOR:

NAME OF INVENTOR:

Signature of Inventor:

Signature of Inventor:

Signature of Inventor:

Date:

Date:

Date:

Applicant, Patentee or Inventor: David W. LaFore and Kyle L. Brem Attorney's  
Application No. or Patent No.: 09/497,272 Docket No.: J99010  
Filed or Issued: 2/3/00  
Title: "Data Processing System and Method for Managing Broker Transaction Information"

**STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) AND 1.27(c)) - SMALL BUSINESS CONCERN**

I hereby declare that I am:

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Data Technology Services  
ADDRESS OF SMALL BUSINESS CONCERN 10920 West Alameda Avenue  
Lakewood, CO 80226

I hereby state that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121, for purposes of paying reduced fees in the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when, either directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.  
☐ the application identified above.  
☐ the patent identified above.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☒ no such person, concern, or organization exists.  
☐ each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING David W. LaFore

TITLE OF PERSON IF OTHER THAN OWNER President

ADDRESS OF PERSON SIGNING 10920 West Alameda Avenue, Lakewood, CO 80226

SIGNATURE David W. LaFore DATE 02/01/2000